

FORM PTO 1390
(REV 5-93)

US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER
2004_1365ATRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. §371US APPLICATION NO.
(if known, 37 CFR 1.52)
NEW 10/506512International Application No.
PCT/JP03/02410International Filing Date
March 3, 2003Priority Date Claimed
March 4, 2002

Title of Invention

LIQUID MATRIX TRANSFORMING ITS PHASE IN LIVING BODY AND ORAL LIQUID PREPARATION

Applicant(s) For DO/EO/US

YOKOYAMA, Hideakira; HIRATA, Akihiko; HAMAMOTO, Hidetoshi; YAMASAKI, Keiko; and FUJII, Takeru.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. §371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. §371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. §371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation (65 pages and 5 sheets A4P drawings for Figs. 1-6) of the International Application into English (35 U.S.C. §371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)).
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☒ A translation of the amendments to the claims under PCT Article 19.
9. ☒ An oath or declaration (unexecuted) of the inventor(s) (35 U.S.C. §371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §371(c)(5)).

Items 11. to 14. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☒ Other items or information: (a) Correction of Inventor Name/Address; (b) PCT Request; (c) Forms PCT/IB/304, 306, 308 and 346; and (d) First page of published International Application (WO 03/074086) with attached International Search Report.

| U.S. APPLICATION NO. 10/506512 NEW | | INTERNATIONAL APPLICATION NO. PCT/JP03/02410 | | ATTORNEY'S DOCKET NO. 2004_1365A | | | | | |
|--|--------------|---|---|---|----|--------------|--------------|--|--|
| 15. <input checked="" type="checkbox"/> The following fees are submitted BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee nor international search fee paid to USPTO and International Search Report not prepared by the EPO or JPO \$1080.00 International Search Report has been prepared by the EPO or JPO \$ 920.00 International preliminary examination fee not paid to USPTO but international search paid to USPTO \$ 770.00 International preliminary examination fee paid to USPTO but claims did not satisfy provisions of PCT Article 33(1)-(4) \$ 690.00 International preliminary examination fee paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$ 100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:50%;">CALCULATIONS</th> <th style="width:50%;">PTO USE ONLY</th> </tr> <tr> <td colspan="2" style="height: 100px;"></td> </tr> </table> | | CALCULATIONS | PTO USE ONLY | | |
| CALCULATIONS | PTO USE ONLY | | | | | | | | |
| | | | | | | | | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | | | | | |
| Claims | Number Filed | Number Extra | Rate | | | | | | |
| Total Claims | 24 -20 = | 4 | X \$18.00 | \$72.00 | | | | | |
| Independent Claims | 2 - 3 = | 0 | X \$86.00 | \$ | | | | | |
| Multiple dependent claim(s) (if applicable) | | | + \$290.00 | \$ | | | | | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$992.00 | | | | | |
| <input checked="" type="checkbox"/> Small Entity Status is hereby asserted. Above fees are reduced by 1/2. | | | | \$496.00 | | | | | |
| SUBTOTAL = | | | | \$496.00 | | | | | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | + | \$ | | | | |
| TOTAL NATIONAL FEE = | | | | \$496.00 | | | | | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property | | | | + | \$ | | | | |
| TOTAL FEES ENCLOSED = | | | | \$496.00 | | | | | |
| | | | | Amount to be refunded | \$ | | | | |
| | | | | Amount to be charged | \$ | | | | |
| a. <input checked="" type="checkbox"/> A check in the amount of \$496.00 to cover the above fees is enclosed. A duplicate copy of this form is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. 23-0975 in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>23-0975</u> . | | | | | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | | | | | | | |
| 19. CORRESPONDENCE ADDRESS <div style="text-align: center;"> CUSTOMER NO. 000513 </div> | | | By <u>Michael R. Davis</u> Michael R. Davis Registration No. 25,134 WENDEROTH, LIND & PONACK, L.L.P. 2033 "K" Street, N.W., Suite 800 Washington, D.C. 20006-1021 Phone: (202) 721-8200 Fax: (202) 721-8250 September 3, 2004 | | | | | | |

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

[CHECK NO.]

63907

[2004_1365A]

10/506512

DTU9 Rec'd PCT/PTO 03 SEP 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Hideakira YOKOYAMA et al. : **Mail Stop: PCT**
Serial No. NEW : **Attorney Docket No. 2004_1365A**
Filed September 3, 2004 :

LIQUID MATRIX TRANSFORMING ITS
PHASE IN LIVING BODY AND ORAL
LIQUID PREPARATION
[Corresponding to PCT/JP03/02410
Filed March 3, 2003]

CORRECTION OF INVENTOR NAME/ADDRESS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

After filing the PCT application on which the present U.S. National phase application is based, the name and address of the fourth inventor was changed. The correct name and address for this inventor are as follows:

Keiko YAMASAKI

313-31, Machida, Higashikagawa-shi, Kagawa, Japan

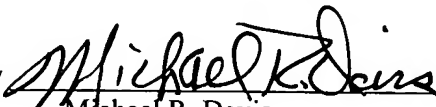
as reflected by the unexecuted Declaration and Power of Attorney form submitted concurrently herewith.

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEES FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975

Respectfully submitted,

Hideakira YOKOYAMA et al.

By



Michael R. Davis
Registration No. 25,134
Attorney for Applicants

MRD/kes
Washington, D.C. 20006-1021
Telephone (202) 721-8200
Facsimile (202) 721-8250
September 3, 2004